



IRW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

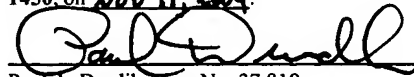
Inventor(s): Alexander J. Somogyi  
Appln. No.: 10/789,010  
Confirm. No.: 6894  
Filed: February 27, 2004  
Title: METHOD FOR PROTECTION AGAINST  
INTERLEAVING TRANSACTIONS USING A  
TRANSACTION MANAGER

PATENT APPLICATION

Art Unit: 2171  
Examiner:  
  
Customer No.: 23910

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Art Unit 2171, Alexandria, VA 22313-1450, on NOV 11, 2004.



(Attorney Signature)

Paul A. Durdik, Reg. No. 37,819

Signature Date: NOV 11, 2004

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.56**

Commissioner for Patents  
P.O. Box 1450  
Art Unit 2171  
Alexandria, VA 22313-1450

Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

***Enclosed with this statement are the following:***

- ☒ Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with M.P.E.P. §609.

- ✓ The present application is being/was filed after June 30, 2003. In accordance with the pre-official gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at: [pac/dapp/opla/preognotice/idswouscopies.htm](http://pac/dapp/opla/preognotice/idswouscopies.htm), copies of cited U.S. patents and publications are not enclosed. However, copies of cited foreign patent documents and non-patent literature are enclosed in accordance with 37 CFR 1.98(a)(2), as still required, except for those items designated by an asterisk (\*), which were previously submitted by the applicant in a parent application, from which benefit under 35 U.S.C. §120 is claimed, with an *Information Disclosure Statement* submitted in the parent application which complies with the September 8, 2000 or subsequent revision of 37 C.F.R. §1.98(a-c), as allowed under 37 C.F.R. §1.98(d)(1).
- The present application was filed prior to June 30, 2003. A copy of each cited document as required by 37 C.F.R. §1.98 is enclosed, except for those items designated by an asterisk (\*), which were previously submitted by the applicant in a parent application, from which benefit under 35 U.S.C. §120 is claimed, with an *Information Disclosure Statement* submitted in the parent application which complies with the September 8, 2000 or subsequent revision of 37 C.F.R. §1.98(a-c), as allowed under 37 C.F.R. §1.98(d)(1).
- If any of the cited/submitted documents is in a foreign language, a concise explanation of relevance is provided pursuant to 37 C.F.R. §1.98(a)(3)(i). For foreign language documents cited in a search report by a foreign patent office, the requirement for a concise explanation of relevance is satisfied by the submission herewith of an English language version of the search report. MPEP §609A(3). If a written English-language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in §1.56(c), a copy of the translation accompanies this statement, 37 C.F.R. §1.98(a)(3)(ii), and satisfies the requirement for a concise explanation of relevance, MPEP §609A(3).
- ✓ ***PTA Statement under 37 C.F.R. §1.704(d).*** Each item of information contained in the *Information Disclosure Statement* was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the *Information Disclosure Statement*.
- ✓ A copy of International Search Report dated 10/28/2004.

***This statement should be considered because:***

- ✓ **37 C.F.R. §1.97(b).** This statement qualifies under 37 C.F.R. §1.97, subsection (b) because:
  - (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under § 1.53(d);  
-- OR --
  - (2) It is being filed within 3 months of entry of a national stage;  
-- OR --
  - (3) It is being filed before the mailing date of the first Office Action on the merits,  
-- OR --

- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 C.F.R. §1.114.

— 37 C.F.R. §1.97(c). Although it may not qualify under subsection (b), this statement qualifies under 37 C.F.R. §1.97, subsection (c) because:

- (1) It is being filed before the mailing date of a FINAL Office Action, a Notice of Allowance, or an action that otherwise closes prosecution in the subject application, whichever occurs first.

-- AND (check at least one of the following) --

- (1) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e).

-- OR --

- (2) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

— 37 C.F.R. §1.97(d). Although it may not qualify under subsection (b) or (c), this statement qualifies under 37 C.F.R. §1.97, subsection (d) because:

- (1) It is being filed on or before payment of the Issue Fee;

-- AND --

- (2) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e);

-- AND --

- (3) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

✓ **Fee Authorization.** The Commissioner is hereby authorized to charge any deficiencies or credit any overpayment to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

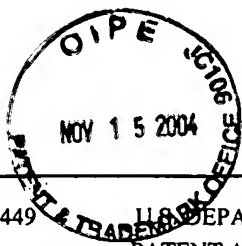
FLIESLER MEYER LLP

Date: Nov 11, 2004

By: 

Paul A. Durdik  
Reg. No. 37,819

FLIESLER MEYER LLP  
Four Embarcadero Center, Fourth Floor  
San Francisco, California 94111-4156  
Telephone (415) 362-3800



Form PTO-1449 (Substitute)  <b>Information Disclosure Statement</b> <b>BY APPLICANT</b> (Use several sheets if necessary)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number BEAS-01338US3	Serial/Patent Number 10/789,010
	Applicant/Patent Owner Somogyi			
	Filing/Issue Date 02/27/2004	Group Art Unit 2171		

### U.S. PATENTS

Examiner Initial	Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	6,052,731	04/18/00	Holdsworth	709	229	12/08/97
	6,157,927	12/05/00	Schaefer	707	103	04/22/98
	6,275,863	08/14/01	Leff	709	248	01/25/99

### U.S. PATENT PUBLICATIONS

Examiner Initial	Patent Application Publication Number	Publication Date	Applicant
	2002/0194244 A1	12/19/02	Raventos
	2002/0087366 A1	07/04/02	Collier

### PENDING U.S. PATENT APPLICATIONS

Examiner Initial	Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No

### FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Publication Date	Country	Class	Subclass	Translation Yes   No

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)		
Examiner		Date Considered
<p>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>		
<p>*1 = Copy not submitted because it was submitted in prior application SN <u>  </u> / <u>  </u>, filed <u>  </u>, 20<u>  </u>, relied on under 35 USC §120.</p>		
<p>*2 = Copy not submitted because it was submitted in prior application SN <u>  </u> / <u>  </u>, filed <u>  </u>, 20<u>  </u>, relied on under 35 USC §120.</p>		

## **REMARKS**

The following Remarks are supplied as part of or in supplement to this *Information Disclosure Statement*.

The references disclosed in this Information Disclosure Statement were cited in an International Search Report for a related international patent application filed under the PCT. Accordingly, Applicant is disclosing these references for consideration in the present patent application.